

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

06/27/01



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| UTILITY PATENT APPLICATION TRANSMITTAL <i>(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))</i> | Attorney Docket No. | 1086.2002-001 |
| | First Named Inventor or Application Identifier | Paul Turner |
| | Express Mail Label No. | EL552284690US |

1000 U.S. PTO
09/892586

06/27/01

Title of
Invention

COMPUTER METHOD AND APPARATUS FOR CONSTRAINING A NON-LINEAR
APPROXIMATOR OF AN EMPIRICAL PROCESS

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

1. ☐ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification **[Total Pages 44]**
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to microfiche Appendix
 - Background of the Invention
 - Summary of the Invention
 - Brief Description of the Drawings
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

6. ☐ Microfiche Computer Program *(Appendix)*
7. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
[] Pages
 - c. ☐ Statement verifying identity of above copies

3. ☒ Drawing(s) (35 U.S.C. 113) **[Total Sheets 3]**
☐ Formal ☒ Informal
☒ Fig. of the Drawings for Publication **[1]**

4. ☒ Oath or Declaration/POA **[Total Pages 12]**
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. 1.63(d))
(for continuation/divisional with Box 18 completed)
[NOTE Box 5 below]
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior
application, see 37 C.F.R. 1.63(d)(2)
and 1.33(b).

5. ☐ Incorporation By Reference *(useable if Box 4b is checked)*
The entire disclosure of the prior application, from which a
copy of the oath or declaration is supplied under Box 4b, is
considered as being part of the disclosure of the accompanying
application and is hereby incorporated by reference therein.

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & documents)
☒ Assignee - Aspen Technology, Inc.
Cambridge, MA 02141
9. ☐ 37 C.F.R. 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document *(if applicable)*
11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS
Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ Small Entity Statement(s) ☐ Statement filed in prior application,
status still proper and desired
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request *(check parent application)*
17. ☐ Other:

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:
Prior application information: Examiner: Group Art Unit:

19. CORRESPONDENCE ADDRESS

| | | | | | |
|---------|---|-----------|----------------|----------|----------------|
| NAME | Mary Lou Wakimura | | | | |
| | HAMILTON, BROOK, SMITH & REYNOLDS, P.C. | | | | |
| ADDRESS | Two Militia Drive | | | | |
| CITY | Lexington | STATE | MA | ZIP CODE | 02421-4799 |
| COUNTRY | USA | TELEPHONE | (781) 861-6240 | FAX | (781) 861-9540 |

| | | | |
|---------------------------------------|---------------------------|-------------|---------------|
| Signature | <i>J Scott Southworth</i> | Date | June 27, 2001 |
| Submitted by Typed or Printed Name | J. Scott Southworth | Reg. Number | 39,382 |

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|--|------------------------|---------------|
| FEE TRANSMITTAL FOR PATENT APPLICATIONS | Attorney Docket Number | 1086.2002-001 |
| | Application Number | |
| | First Named Inventor | Paul Turner |

CLAIM CALCULATION (includes any preliminary amendment)

| CLAIMS | (1) FOR | (2) NUMBER FILED | (3) NUMBER EXTRA | (4) RATE | (5) CALCULATIONS |
|--------|---|------------------|------------------|--------------------------------------|------------------|
| | TOTAL CLAIMS (37 CFR 1.16(c) or (i)) | 24 - 20* = | 4 | x \$ 18 = | \$ 72 |
| | INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i)) | 6 - 3** = | 3 | x \$ 80 = | \$ 240 |
| | MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d)) | | | + \$ 270 = | \$ |
| | | | | BASIC FEE (37 CFR 1.16(a) or (h)) | \$ 710 |
| | | | | Total of above Calculations = | \$ 1022 |
| | Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27, 1.28) = | | | | \$ |
| | TOTAL = | | | | \$ 1022 |
| | Surcharge - Late Filing of Declaration or Filing Fees (37 C.F.R. 1.16(e)) = | | | | \$ |
| | Petition for Extension of Time Fee (37 C.F.R. 1.17) = | | | | \$ |
| | Assignment Recordation Fee = (only when filed with application) | | | | \$ 40 |
| | TOTAL = | | | | \$ 1062 |

* Reissue claims in excess of 20 and over original patent
** Reissue independent claims over original patent

1. Small entity status:

- a. ☐ A small entity statement is enclosed.
- b. ☐ A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

2. ☒ A general authorization is hereby granted to charge deposit account number 08-0380 for any fees required under 37 CFR 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.

3. ☒ A check is enclosed for \$1062. ☐ Please charge \$[] to Deposit Account No. 08-0380.

4. ☐ Other: _____

| | | | |
|---------------------------------------|----------------------------|-------------|---------------|
| Signature | <i>J. Scott Southworth</i> | Date | June 27, 2001 |
| Submitted by Typed or Printed Name | J. Scott Southworth | Reg. Number | 39,382 |